


Form PTO-1449 <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> <i>(Use several sheets if necessary)</i>	Docket Number 422232000300	Application Number 09/668,255
	Applicant M. H. EVELYN et al.	
	Filing Date September 21, 2000	Group Art Unit To Be Assigned
	Mailing Date February 23 2001	

## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
SY	1.	5/25/71	3,581,072	Nymeyer			
SY	2.	12/6/88	4,789,928	Fujisaki			
SY	3.	2/20/90	4,903,201	Wagner			
SY	4.	12/25/90	4,980,826	Wagner			
SY	5.	12/31/91	5,077,665	Silverman et al.			
SY	6.	3/31/92	5,101,353	Lupien et al.			
SY	7.	8/4/92	5,136,501	Silverman et al.			
SY	8.	3/9/93	5,193,056	Boes			
SY	9.	9/7/93	5,243,515	Lee			
SY	10.	3/22/94	5,297,031	Guterman et al.			
SY	11.	12/20/94	5,375,055	Togher et al.			
SY	12.	3/5/96	5,497,317	Hawkins et. al.			
SY	13.	3/26/96	5,502,637	Beaulieu et al.			
SY	14.	6/17/97	5,640,569	Miller et al.			
SY	15.	6/30/98	5,774,176	Carter			
SY	16.	6/30/98	5,774,880	Ginsberg			
SY	17.	8/11/98	5,794,207	Walker et al.			
SY	18.	8/11/98	5,794,219	Brown			
SY	19.	9/1/98	5,802,501	Graff			
SY	20.	9/15/98	5,809,483	Broka et al.			
SY	21.	11/10/98	5,835,896	Fisher et al.			
SY	22.	12/1/98	5,845,266	Lupien et al.			
SY	23.	1/5/99	5,857,176	Ginsberg			
SY	24.	5/18/99	5,905,974	Fraser et al.			
SY	25.	5/18/99	5,905,975	Ausubel			
SY	26.	6/22/99	5,915,209	Lawrence			

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Applicant

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SYS	27.	7/13/99	5,924,083	Silverman et al.			
SYS	28.	8/31/99	5,946,667	Tull, Jr. et al.			
SYS	29.	11/30/99	5,995,947	Fraser et al.			
SYS	30.	1/11/00	6,014,627	Togher et al.			
SYS	31.	2/15/00	6,026,383	Ausubel			
SYS	32.	3/7/00	6,035,287	Stallaert et al.			
SYS	33.	12/12/00	6,161,099	Harrington et al.			

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FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

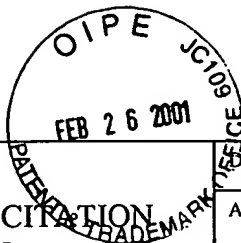
Examiner Initials	Ref. No.	Title
SYS	34.	Bicknell, "IPOs for the Everyman", Wire News 2/8/99, 1 pg.
SYS	35.	Bransten et al., "New Company Aims to Shift IPO Playing Field", Wall Str. J., 2/8/99 C1.
SYS	36.	Carlsen, "Veteran bankers use Net power to fuel IPO market", SF Business Times, 2/12/99, pp. 20, 23.
SYS	37.	CNNfn, "IPOs for the public--really!", 2/8/99, 1 pg.
SYS	38.	Daly, "West Coast firm sets new way for IPOs", CBS Market Watch Report, 2/8/99, 1 pg.
SYS	39.	Davis, "The Underwriting Underdog", Business 2.0, 7 pgs.
SYS	40.	Edwards et al., Nat. Pub. Radio, morning edition 10:00 am on ET, 2/12/99, 1 pg.
SYS	41.	Friedman "A Toast to Open IPO From the 'Little Guy' ", Los Angeles Times, 4/13/99, 1 pg.
SYS	42.	Gates, "The next generation of i-banking", Red Herring, The Bus. of Technology, 2/9/99, 1 pg.
SYS	43.	Gerhard, "A Secure Electronic Market for Anonymous Transferable Emission Permits", IEEE Comp. Soc, 1998, 232-241.
SYS	44.	Gilpin, "How the Web Can Improve Corporate Underwriting", The N.Y. Times, 2/14/99, 1 pg.
SYS	45.	Gorda et al., "Building and Running Online Auctions", Dr. Dobbs's Journal, Oct. 1997, pp. 84-104.
SYS	46.	Hansell, "Internet Auction System Set For Pricing Stock Offerings", The N. Y. Times, 2/8/99, C7.

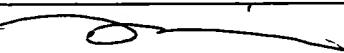
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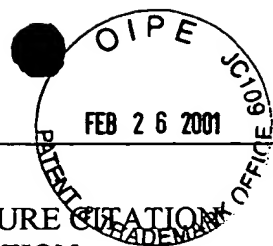
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47.	Harkavy et al., "Electronic Auctions with Private Bids", 3rd USENIX Workshop on Electronic Commerce, pgs. 61-73, 8/31-9/3/98.		
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49.	Hambrecht, "Dutch Treat", TIME digital, 5/17/99.		
50.	"New Approach to Investment Banking With Launch of Open IPO", IPO MONITOR, San Francisco, 2/8/99, 2 pgs.		
51.	Junnarkar, "Bringing auction-based IPOs to the Web", Cnet News.Com, 2/8/99.		
52.	Kikuchi et al., "Multi-Round Anonymous Auction Protocols", IEICE Trans. Inf. & Syst. vol. E82-D, no. 4, 1999, pp. 769-776.		
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59.	O'Connor, "Internet site bids for investors", FINANCIAL TIMES, 5/18/99, 2 pgs.		
60.	Rohm et al., "COPS: A Model and Infrastructure for Secure and Fair Electronic Markets", Proceedings of the 32nd Hawaii International Conference on System Sciences, 1999, 10 pgs.		
61.	"IPOs online a boost for small investor", San Jose Mercury News, 2/15/99, 2 pgs.		
62.	Stone, "How About IPOs for the Masses?", Newsweek, Business, 2/15/99, pg. 46.		
63.	Subramanian et al., "A Real-Time Protocol for Stock Market Transactions", IEEE 1999, pp. 2-10.		
64.	Thomas, R., 8/28/1996 Letter with attachment.		
65.	Wurman et al., "Flexible double auctions for electronic commerce: theory and implementation", Elsevier Science, Decision Support Systems 24, 1998, pp. 17-27.		
66.	Young, "An IPO that's for everyone", The Sacramento Bee, 3/3/99, 2 pgs.		
67.	Zimmerman et al., "A web-based platform for experimental investigation of electric power auctions", Elsevier Science, Decision Support Systems 24, 1999, pp. 193-205.		
68.	"Sample Form of MuniBid <sup>TM</sup> Notice of Sale", 9 pgs.		
69.	Brochure, "Introduction to MuniBid <sup>TM</sup> Optimizing Municipal Bond Sales", 13 pgs.		
70.	Pamphlet entitled MuniBid.		
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Sys	72.	Parity ...and the Municipal Securities Issuer, author and date unknown.	
Sys	73.	Parity brochure, Copyright 1992, 21st Century Municipals, Inc.	
Sys	74.	"Internet Benefits SF Redevelopment Offering", CA Public Finance, v. 10, no 21, p N/A, Jan. 13, 1997.	
Sys	75.	Dazzo N. J., "In Today's Muni Market, Data Bases, Not Books, Provide Dealers, Clients with timely Bond Data: Municipal bond dealers have never had it so easy", The Bond Buyer, v. 289, #2821, 8/29/89.	
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Sys	77.	"Grant Street Advisors Is Setting Up The First Muni Bond Auction Web Site", The Bond Buyer, v 320, #30159, p. 1, 6/4/97.	
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Sys	79.	Stirland, "News and Trends: Brokers-Dealers to hawk Products Via Satellite and cable TV", The Bond Buyer, v 320, #30125, 4/16/97.	
Sys	80.	U.S. Trademark File History for mark "PARITY & Design", (Reg. no. 1772581) including specimen entitled "PARITY A Real-Time, No-Risk Bidding Network From 21 Century Municipals", (1992).	
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Sys	85.	FAX from PARITY, 4/30/96.	
Sys	86.	Document entitled: "Q: What Do These Issues Have in Common?"	
Sys	87.	Official Notice of Sale, Tennessee Local Development Authority.	
Sys	88.	Bid Form Tennessee Local Development Authority; PARITY Bid Form; PARITY Form of Agreement; Suggested language document.	
Sys	89.	"Financial Advisors/Issuers", document, "The Financial Adviser Receives A Bid Status Report...".	
Sys	90.	Financial Advisors/Issue document, "Financial Advisors/Issuers see the following data for each bid and for each issue by dialing 206-635-0940 (this information only shows after the deadline for receipt of bids)".	
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